

# Search Report from Ginger D. Roberts

?show files;ds

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Set	Items	Description
S1	108661	BROKER?(6N) (TRANSACTION? OR TRADES OR BUYS OR SALES OR EXCHANGES)
S2	1210376	TRANSMISSION? OR TRANSMIT? OR PACKET? ? OR RELAY?
S3	226580	(OFFSITE? OR OFF()SITE? OR REMOTE? OR DISTANT OR CENTRAL?)-(3N) (SERVER? OR DATABASE? OR MAINFRAME? OR COMPUTER OR WORKSTATION? OR CLIENT? OR PC)
S4	14834865	REPORT? OR AUDIT?
S5	8759244	SECURE? OR SECURITY? OR ENCRYPT? OR SECRET? OR DECRYPT? OR PUBLIC()KEY? OR PRIVATE()KEY? OR CRYPT? OR SCRAMBLE? OR ENCODE?
S6	92	S1 AND S2 AND S3 AND S4
S7	441	S1 AND S3 AND S4
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S9	1441	S1 AND S2 AND S5
S10	1808	S7 OR S9
S11	1	S1(S)S2(S)S3(S)S4
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S14	69	S1(S)S2(S)S5
S15	84	S11:S14
S16	58	RD (unique items)

S17 44 S16 NOT PY>2000  
S18 44 RD (unique items)  
?t18/3,k/all

**18/3,K/1 (Item 1 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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01644067 02-95056

**Internet commerce and managed care**

Schaich, Robert L

Health Management Technology v19n7 PP: 43-46 Jun 1998

ISSN: 1074-4770 JRNL CODE: CIH

WORD COUNT: 2342

...TEXT: by the Health Care Financing Administration (HCFA), the evaluation and endorsement of specific technologies for **secure** Internet electronic commerce has not yet been completed. Until this occurs hopefully by year-end - the prohibition issued by HCFA regarding the use of the Internet to **transmit** beneficiary identifiable information remains in effect. This simply means that managed care organizations would need...

... based services until HCFA provides some clearance. However, the long-term outlook is positive since **secure** processing and protected access is already being provided for banking, **brokerage**, and insurance financial **transactions** over the Web. There is no technical reason why **security** and privacy cannot be effectively handled for managed care applications.

Legacy environments. Depending on the...

**18/3,K/2 (Item 2 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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01108035 97-57429

**Employment trends in the security brokers and dealers industry**

Graff, Brett Illyse

Monthly Labor Review v118n9 PP: 20-29 Sep 1995

ISSN: 0098-1818 JRNL CODE: MLR

WORD COUNT: 5703

...TEXT: a processing system that sent it to an exchange. Now, some order entry systems allow **brokers** to input **trades** as they are requested, directly from their desks. The process takes about 1 minute as...

... of the current system is such that market transactions often can be completed before a **security** experiences any movement in price. Electronic trading systems **transmit** orders directly to a receiving unit. Both advances eliminate paper tickets, and thus the need...

**18/3,K/3 (Item 3 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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01051282 97-00676

**US implements three-day settlement of securities trades**

Klein, Alan M

International Financial Law Review v14n5 PP: 36-38 May 1995

ISSN: 0262-6969 JRNL CODE: IFL

WORD COUNT: 2285

...TEXT: the securities industry. Introducing brokers are the point of contact for customers entering into securities **trades**. Those introducing **brokers** which do not have the ability to execute the customer's **transaction** themselves in turn use executing **brokers** to do so. The executing broker will **transmit** the trade through a clearing organization such as the Depository Trust Company or the National Securities Clearing Corporation. The clearing organization determines the net payment and **security** delivery liability of its member brokers on a daily basis and guarantees payment of amounts...

18/3,K/4 (Item 4 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00756329 94-05721

Attuned to ATM

Babcock, Charles

Computerworld v27n33 PP: 36 Aug 16, 1993

ISSN: 0010-4841 JRNL CODE: COW

WORD COUNT: 597

...TEXT: Pacific Stock Exchange in San Francisco to convert to ATM next year for high-speed **transaction** and multimedia data feeds to **brokers**. ATM establishes a temporary end-to-end connection for each transmission, like a telephone call. A virtual circuit route is computed prior to transmission, which then allows the fixed-length **packet**s to be **transmitted**, multiplexed and switched in silicon rather than through software. This is not only faster but more **secure**, which is a big concern for the stock exchange.

Older packet switching methods and LANs...

18/3,K/5 (Item 5 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00694071 93-43292

Defining international electronic commerce

Ritter, Jeffrey B

Northwestern Journal of International Law & Business v13n1 PP: 3-30

Spring/Summer 1992

ISSN: 0196-3228 JRNL CODE: NJI

WORD COUNT: 12879

...TEXT: purpose of S.W.I.F.T. is to provide a common, rapid, reliable and **secure** means of transporting banking instructions internationally. S.W.I.F.T. offers its participants several...

... I.F.T. is now also open to approved non-bank institutions such as recognized **exchanges**, securities **brokers** and dealers and clearing and deposit institutions. Due to the high volume of traffic--more...

... only a fraction of similar services provided by telex or cable transmission. Speed, accuracy and **security** are assured by S.W.I.F.T. Messages between banks can be **transmitted** in as little as twenty seconds. Authentication and verification of these messages occurs automatically. All information sent through S.W.I.F.T. is **encrypted** (i.e., only receiver and sender can decipher messages). See generally, SOCIETY FOR WORLDWIDE INTERBANK...

18/3,K/6 (Item 6 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00583027 91-57374

**From the Board: A Short History of Program Trading**

Gastineau, Gary L.

Financial Analysts Journal v47n5 PP: 4-7 Sep/Oct 1991

ISSN: 0015-198X JRNL CODE: FIA

...ABSTRACT: In a world of unfixed commissions, the specialist's income from the execution of other **brokers' trades** has declined. In this environment, an ad hoc joint venture developed between the specialists and ...

... of the block trading firms augmented the specialist system. Passage of the Employee Retirement Income **Security** Act of 1974 and the consequent focus on diversification and indexation led to the development...

... positions in a portfolio trade will be acquired or liquidated through market or limit orders **transmitted** to specialists over the New York Stock Exchange (NYSE) SuperDOT system. ...

18/3,K/7 (Item 7 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00246747 84-25307

**Innovation at Amex Aids Traders with a Touch**

Anonymous

Wall Street Computer Review v1n10 PP: 25-26 Jul 1984

ISSN: 0738-4343 JRNL CODE: WSC

...ABSTRACT: enables brokers to send some orders directly to the AMEX floor trading posts where the **security trades**, without involvement by a floor **broker**. With AUTOPER, developed for AMEX by the Securities Industry Automation Corp., specialists can decrease turnaround time so their international customers can get confirmation of a trade within seconds. Orders are **transmitted** directly into one of several boxes on the specialist's screen; each box corresponds to...

18/3,K/8 (Item 8 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00174253 82-15814

**Cryptographic LSI**

Diamond, Tony

Systems International v10n3 PP: 35-37 Mar 1982

ISSN: 0309-1171 JRNL CODE: ISS

ABSTRACT: Data **encryption** devices are now available to permit relatively unsophisticated communications systems users to **secure** their data during transmission against unwanted interception. Data **security** is a concern of ever increasing magnitude in applications involving electronic funds transfers and **brokerage transactions**. The new devices use the Data **Encryption** Standard (DES) **cryptographic** algorithm specified by the US National Bureau of Standards. In applications using Western Digital's...

... user defines a 64-bit keyword which, in conjunction with a 2 MHz clock, supplies **encryption** of the data. A one bit cipher feedback system (OBCFB) is then applied to **transmit** the data at rates exceeding 19,200 bits per second. Primer kits are available for engineers wishing to experiment with and test DES **cryptography** . Figures. ...

18/3,K/9 (Item 1 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)  
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08016719 Supplier Number: 66657747 (USE FORMAT 7 FOR FULLTEXT)  
**China Telecom and SinoBull Financial Group Debut New Wireless Stock Trading System at PT/EXPO COMM CHINA 2000.**

PR Newswire, pNA

Nov 7, 2000

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 789

... Group.

The wireless stock trading system is based on China Telecom's enhanced Cellular Digital **Packet** Data (CDPD) network, which is currently serving six major cities in China, including Beijing, Shanghai...

...solution is the first system allowing individual end users to access the Internet and execute **secure** stock trades over a wireless device connected to China Telecom's CDPD network. Demonstration of the **secure** wireless trading system received an enthusiastic response from attendees of PT/EXPO COMM CHINA 2000. With Internet **security** currently a top concern in China, direct routing of wireless **transactions** over the **secure** UAC162 intranet to **brokerage** offices was very reassuring.

Simon Zhang, President of UAC Stock Exchange Online said, "We expect

...

18/3,K/10 (Item 2 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)  
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07520081 Supplier Number: 63032002 (USE FORMAT 7 FOR FULLTEXT)  
**Hartcourt Subsidiary Develops Revolutionary Wireless Online Solution For China Markets.**

PR Newswire, pNA

June 29, 2000

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 885

... known as ChinaPAC, a virtual private network extending throughout China that was designed to quickly **transmit** sensitive financial data in a **secure** mode. With many of China's Web surfers deeply worried about network **security** , SinoBull provides a **secure** medium for investors to make stock **transactions** with their **brokerage** firm.

Simon Zhang, President of UAC Stock Exchange Online, said, "With this newly developed solution...

18/3,K/11 (Item 3 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)  
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02607305      Supplier Number: 43465260      (USE FORMAT 7 FOR FULLTEXT)  
**BRANCH SUPPORT: MORGAN KEEGAN SAVES \$500,000 WITH SPRINT VIRTUAL PRIVATE NETWORK**  
Wall Street Network News, v1, n11, pN/A  
Nov 20, 1992  
Language: English      Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count:      1054

... data vendors will be the ability to provide 3270-emulation access to proprietary client and **security** information resident on a Tandem Computer Inc. mainframe in Memphis. **Brokers relay sales** to wire operators, who then input the data via terminals linked to the mainframe. The...

**18/3,K/12      (Item 4 from file: 16)**  
DIALOG(R)File 16:Gale Group PROMT(R)  
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01282131      Supplier Number: 41496454  
**DMPF - Sales and Distribution**  
S1 SEC Registration, pN/A  
August 14, 1990  
Language: English      Record Type: Abstract  
Document Type: Magazine/Journal; Trade

ABSTRACT:  
...cans between Del Monte's facilities.  
Customer orders are electronically communicated from Del Monte's **sales** offices and **brokers** to a **central computer**, cleared for credit, stock availability, terms, etc. and then **transmitted** to each shipping point. Alternatively, customers may order on a computer-to-computer basis. Sales...

**18/3,K/13      (Item 1 from file: 148)**  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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09293143      SUPPLIER NUMBER: 19033705      (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Is mens rea required for a criminal violation of the federal securities laws?**  
Beveridge, Norwood P.  
Business Lawyer, 52, n1, 35-64  
Nov, 1996  
ISSN: 0007-6899      LANGUAGE: English      RECORD TYPE: Fulltext; Abstract  
WORD COUNT:      17343      LINE COUNT:      01339

... he had no knowledge of such rule or regulation. (53.) For example, the definition of "**security**" in (sections) 2(1) of the 1933 Act, 15 U.S.C. (sections) 77b(1...inclusive (violations of Sec. 5 of the 1933 Act), to be actual knowledge that a **security** was being sold in violation of the law." United States v. Sussman, E Supp. 294...

...commerce and the mails. (a) Unless a registration statement is in effect as to a **security**, it shall be unlawful for any person, directly or indirectly - (1) to make use of...

...instruments of transportation or communication in interstate commerce or of the mails to sell such **security** through the use or medium of any

prospectus or otherwise; or (2) to carry or...

...the mails or in interstate commerce, by any means or instruments of transportation, any such **security** for the purpose of sale or for delivery after sale. (b) It shall be unlawful...

...instruments of transportation or communication in interstate commerce or of the mails to carry or **transmit** any prospectus relating to any **security** with respect to which a registration statement has been filed under this subchapter, unless such...

...carry or cause to be carried through the mails or in interstate commerce any such **security** for the purpose of sale or for delivery after sale, unless accompanied or preceded by...

...or offer to buy through the use or medium of any prospectus or otherwise any **security** , unless a registration statement has been filed as to such **security** , or while the registration statement is the subject of a refusal order or stop order...note 55, (sections) 7.7, at 456. (85.) The 1993 Act contains a definition of " **security** " in (sections) 2(1), 15 U.S.C. (sections) 77b(1)(1994): The term **security** " means any note, stock, treasury stock, bond, debenture, evidence of indebtedness, certificate of interest or...

...certificate or subscription, transferable share, investment contract, voting-trust certificate, certificate of deposit for a **security** , fractional undivided interest in oil, gas, or other mineral rights, any put, call, straddle, option, or privilege on any **security** , certificate of deposit, or group or index of securities (including any, interest therein or based...

...relating to foreign currency, or, in general, any interest or instrument commonly known as a " **security** ," or any certificate of interest or participation in, temporary or interim certificate for, receipt for...

...Benefit Life Ins. Co., 387 U.S. 202 (1967) ("Flexible Fund" deferred annuity contract is **security** under 1933 Act). (89.) Reves v. Ernst & Young, 494 U.S. 56 (1990) (stating quality as **security** for purposes of 1934 Act depends upon investment characteristics). (90.) United Housing Found., Inc. v...

...S. 837 (1975) (finding stock in cooperative housing project with appurtenant apartment lease not a **security** ). (91.) Landreth Timber Co. v. Landreth, 471 U.S. 681 (1985) (holding that sale of all outstanding stock is still sale of a **security** and rejecting "sale of business doctrine" that such a buyer is not an investor). (92...

...S.293 (1946) (holding such an interest to be an investment contract and therefore a **security** ). (93.) SEC v. C.M. Joiner Leasing Corp., 320 U.S. 344, 353-55 (1943) (finding assignment of oil leases with associated drilling is investment contract and **security** ). (94.) Id. at 355. (95.) D.H. Roe v. United States, 287 F.2d 435...

...2d 1280 (9th Cir. 1978) (asserting no requirement to prove that the defendant knew a **security** was involved); United States v. Carman, 577 F.2d 556 (9th Cir. 1978) (finding evidence...is available. It allows sales by control persons in any three-month period, in ordinary **brokers** , **transactions** , when the shares sold in aggregate do not exceed the greater of one percent of...17 C.F.R. (sections) 240.10b-5 (1996), in manipulating the price of a **security** in connection with a corporate takeover attempt. Charnay, 537 F.2d at 351-52. The...

...securities laws when it charged knowing participation in manipulation artificially depressing the market for a **security**. Id. A concurring opinion cited both Schwartz and Professor Loss's treatise for the proposition...

**18/3,K/14 (Item 2 from file: 148)**

DIALOG(R)File 148:Gale Group Trade & Industry DB  
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08485299 SUPPLIER NUMBER: 17945577 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Administrative actions against lawyers before the SEC.**  
Lorne, Simon M.; Callcott, W. Hardy  
Business Lawyer, 50, n4, 1293-1331  
August, 1995  
ISSN: 0007-6899 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 20022 LINE COUNT: 01615

... account through which he distributed unregistered stock into the United States and from which he **transmitted** proceeds to the issuer). (91.) See, e.g., SEC v. Woodward, Litigation Release No. 14...or for such period of time as the Commission may specify...with respect to any **security**, any issuer, or any other person." See Exchange Act (sections) 21C(a), 15 U.S...436 U.S. 103 (1978) (limiting the Commission's authority to halt trading in a **security** ).

**18/3,K/15 (Item 3 from file: 148)**

DIALOG(R)File 148:Gale Group Trade & Industry DB  
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08282871 SUPPLIER NUMBER: 17514142 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Employment trends in the security brokers and dealers industry.**  
Monthly Labor Review, v118, n9, p20(10)  
Sep, 1995  
ISSN: 0098-1818 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 6094 LINE COUNT: 00505

... a processing system that sent it to an exchange. Now, some order entry systems allow **brokers** to input **trades** as they are requested, directly from their desks. The process takes about 1 minute as...

...of the current system is such that market transactions often can be completed before a **security** experiences any movement in price. Electronic trading systems **transmit** orders directly to a receiving unit, Both advances eliminate paper tickets, and thus the need...

**18/3,K/16 (Item 4 from file: 148)**

DIALOG(R)File 148:Gale Group Trade & Industry DB  
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08267822 SUPPLIER NUMBER: 17440973 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Mutual fund and variable insurance products performance advertising.**  
Kirsch, Clifford E.; Faria, Wendell M.; Conner, W. Thomas  
Business Lawyer, 50, n3, 925-993  
May, 1995  
ISSN: 0007-6899 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 33928 LINE COUNT: 02822

... the Brown & Wood letter discussed supra note 49, the Commission also indicated that a prospectus **encoded** in an electronic format, if

transmitted electronically, would be sent or given "prior to" supplemental ...

...for a period of one year. Section 35 generally governs investment company advertisements and supplemental **sales** literature used by NASD member **broker** -dealers. (79.) See SEC Approve, Communication Guidelines for Variable Products, NASD Notice to Members 94...b), as amended, states: A notice, circular, advertisement, letter, or communication in respect of a **security** shall not be deemed to be a prospectus if it states from whom a written...

...of section 10 may be obtained and, in addition, does no more than identify the **security**, state the price thereof, state by whom orders will be executed, and contain such other...situation. Investment companies shares are sold through two primary distribution channels. "Load" funds charge a **sales** load to finance a **broker** -dealer distribution network. Since broker-dealers sell to their customers primarily through oral offers over...

18/3,K/17 (Item 5 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB  
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08001202 SUPPLIER NUMBER: 17140476 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**IRI Software delivers DataServer QuickView; electronic delivery system greatly reduces data access time.**

Business Wire, p6260209

June 26, 1995

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 301 LINE COUNT: 00036

DataServer QuickView, a PC application, gives field **sales** representatives, **brokers** and other remote users instant access to crucial sales and marketing information. With DataServer QuickView, users can view **reports** and graphs tailored to their analytical and data needs efficiently, without connecting to a **remote database**. The **reports** are generated through DataServer Analyzer, IRI Software's powerful decision support solution that translates scanner...

18/3,K/18 (Item 6 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB  
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05882275 SUPPLIER NUMBER: 12340541 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Russian commodity exchanges own 5% of the overall computer market in the former USSR. (Union of Soviet Socialist Republics)**

Computergram International, CGI06160015

June 16, 1992

ISSN: 0268-716X LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

WORD COUNT: 384 LINE COUNT: 00032

... 900m roubles (about \$9m) through a share issue in order to develop a real-time **packet** switched service for its commercial customers. The Moscow exchange has purchased a network called Commercial...

...has launched a communication network based on lines leased from Rospak, Russia, a state-run **packet** -switching network. The most pressing problem for exchanges is that they are not usually able to organise on-line access to **remote databases**. The Russian Company of Exchange systems is aimed at **exchanges**, banks, and **brokers**. Plans exist to introduce three levels of services available at different prices. The charge structure...

18/3,K/19 (Item 7 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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05450042 SUPPLIER NUMBER: 11338309 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**NEWBRIDGE MICROSYSTEMS AWARDED NIST CERTIFICATE OF APPRECIATION**  
PR Newswire, 1002P9207  
Oct 2, 1991  
LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 458 LINE COUNT: 00039

... its placement on the Validated Data Encryption Standard Devices List.

Available now, the CA20C03A DES **Encryption** Processor transfers data at rates up to 3.85 Mbytes per second, making it ideal for telecommunications applications such as electronic funds transfer, electronic document interchange (EDI), T-1 link **encryption**, **secure** banking, **brokerage** and accounting **transactions** and **packet** -switched communications. DES is the standard data **encryption** algorithm used for file and communications **encryption** and as such is widely established in the **security**, finance and banking industries.

The CA20C03A offers both Electronic Code Book (ECB) and Cipher Block

...

18/3,K/20 (Item 8 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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04506023 SUPPLIER NUMBER: 08126458 (USE FORMAT 7 OR 9 FOR FULL TEXT) :  
**Fraud busters. (technology to prevent investors from being cheated on futures exchanges)**  
Siler, Charles  
Forbes, v145, n4, p154(3)  
Feb 19, 1990  
CODEN: FORBA ISSN: 0015-6914 LANGUAGE: ENGLISH RECORD TYPE:  
FULLTEXT; ABSTRACT  
WORD COUNT: 1076 LINE COUNT: 00083

...ABSTRACT: off the trading floor. The Chicago exchanges are changing the system, requiring that traders and **brokers** record **transactions** on hand-held computers that beam information to a **central computer**. No product exists yet that can do what the exchanges want to do. The hand...

...include a touch screen, all for a cost of about \$3,000. Conventional ways of **transmitting** data without wires are not sufficient. The answer may be in World War II technology...

... day's trades.

The Chicago exchanges are now modifying that system. They want traders and **brokers** to record **transactions** on hand-held terminals that will beam the information immediately to a **central computer**. Since both sides of a trade would **transmit** their information, errors or discrepancies would become apparent quickly.

The wireless trading network isn't...

18/3,K/21 (Item 9 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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02472798 SUPPLIER NUMBER: 04045056 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Product directory. (boating industry)**  
Boating Industry, v48, p171(153)  
Dec, 1985  
ISSN: 0006-5404 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 151907 LINE COUNT: 12915

... LA 70011  
Control Engineering, Inc., 633 Pam Lem St., Cocoa, FL 32926  
Keith L. Daudt **Sales** Co., Inc., Yazaki Corporation, Route 4 Airport  
Rd., Princeton, MN 55371  
Detroit Marine Engineering Inc...

**18/3,K/22 (Item 1 from file: 275)**  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
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02226313 SUPPLIER NUMBER: 21193877 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Y2k Final Stage: Contingency Plans Turn Spotlight on Business Side.(Year 2000 software crisis) (Industry Trend or Event)**  
Duffy, Maureen Nevin  
Wall Street & Technology, v16, n10, p74(1)  
Oct, 1998  
ISSN: 1060-989X LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 1581 LINE COUNT: 00127

TEXT:

...Already, 44% of respondents to a recent survey by the Information Technology Association of America **reported** experiencing Year 2000 disruptions. Heeding the call, Senators Bob Bennett, R-Utah, and Chris Dodd ...

...at the same time. A flood on Wall St. wouldn't send their Jersey City **clients** scurrying for their **off - site** facilities. Most people used to assume that the only catastrophe that could affect everyone simultaneously ...Y2k leadership of the SIA and firms themselves is the readiness of smaller and foreign **brokerages** and **exchanges**, utilities, market data vendors and telecom providers. A main target for the SIA in its...  
...switch (the network) to alternate routes if there is miscommunication."  
In that event, management system **reports** may stop, some network control might be lost. But of greater concern, he says, is...

**18/3,K/23 (Item 2 from file: 275)**  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
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01964234 SUPPLIER NUMBER: 18516667 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Traders gain split-second advantage by going wireless. (use of wireless LANs) (Technology Information)**  
Tomasula, Dean  
Wall Street & Technology, v14, n8, p48(2)  
August, 1996  
ISSN: 1060-989X LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 1404 LINE COUNT: 00111

...ABSTRACT: such system called Universal Trader by Wireless Financial Services, offers two-way trading and can **transmit** orders to brokerage firms in less than six seconds. It can be used with a...

...computer equipped with a cellular phone modem compatible with RAM Mobile

Search Report from Ginger D. Roberts

Data Service. It is **secure** , quick and can handle a million customers.  
Many stock exchanges have made full or pilot...

**18/3,K/24 (Item 3 from file: 275)**

DIALOG(R)File 275:Gale Group Computer DB(TM)  
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01583974 SUPPLIER NUMBER: 13390702 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Beating the clock: Globex automates trading. (the Globex after-hours  
electronic futures-trading network) (Industry Outlook: Financial  
Services) (Column)**

Beem, William

Corporate Computing, v2, n2, p185(2)

Feb, 1993

DOCUMENT TYPE: Column ISSN: 1065-8610 LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 1331 LINE COUNT: 00103

... age. Is there anyone out there who can give brokers what they want?  
Reuters, which **transmits** financial information and news throughout  
the world, thinks it can. Its **secret** : Globex, an after-hours electronic  
futures-trading network that links brokers in New York, Chicago...

...Chicago Mercantile Exchange and Chicago Board of Trade. Instead of  
shouting from the trading floor, **brokers** are able to execute **trades**  
from computer terminals that allow them to view data simultaneously on as  
many as 28...

**18/3,K/25 (Item 1 from file: 20)**

DIALOG(R)File 20:Dialog Global Reporter  
(c) 2002 The Dialog Corp. All rts. reserv.

16114799

**Survival tactics**

HA'ARETZ

August 15, 2000

JOURNAL CODE: WHYZ LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 643

... TASE and local brokers with increased revenues, instead of having  
those revenues go to foreign **exchanges** and **brokers** . This increased  
revenue will enable the TASE to upgrade its trading systems and to maintain  
...

**18/3,K/26 (Item 2 from file: 20)**

DIALOG(R)File 20:Dialog Global Reporter  
(c) 2002 The Dialog Corp. All rts. reserv.

11734327 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Updated Story**

PR NEWSWIRE

June 29, 2000

JOURNAL CODE: WPRW LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 964

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... deeply worried about network security, SinoBull provides a secure  
medium for investors to make stock **transactions** with their **brokerage**